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THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Stefan J.M. Kraemer, M.D., Ph.D. and John M. Adams  
Title: TRANSESOPHAGEAL GASTRIC REDUCTION DEVICE,  
SYSTEM AND METHOD  
Serial No.: 10/686,427  
Filing Date: October 14, 2003  
Examiner/Unit: Pavitra Kotini / 3731  
Attorney Docket No.: 2234-002-03

CERTIFICATE OF MAILING OR TRANSMISSION

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Signature

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ACCOMPANYING SECTION 1.97(e) CERTIFICATION**

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In compliance with 37 CFR § 1.56 and § 1.97, Applicant acting by and through the attorney of record, hereby discloses patents and other documents listed on the attached Form PTO-1449 which may be considered relevant to the examination of the subject application.

Copies of the cited non-U.S. patent references are enclosed.

**Certification Under Section 1.97(e)**

Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this statement.

Respectfully submitted,

GRAYBEAL JACKSON HALEY LLP

A handwritten signature in black ink, appearing to read "Richard O. Gray, Jr.", written in a cursive style.

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Substitute for form 1449A/PTO

**Complete if Known**

*(Use as many sheets as necessary)*

Sheet

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of

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Application Number

10/686,427

Filing Date

October 14, 2003

*First Named Inventor*

Stefan J.M. Kraemer

*Art Unit*

3731

**Examiner Name**

Pavitra Kotini

Attorney Docket Number

2234-002-03

[illegible][illegible]

Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 2 of 2

**Complete if Known**

Application Number	10/686,427
Filing Date	October 14, 2003
First Named Inventor	Stefan J.M. Kraemer
Art Unit	3731
Examiner Name	Pavitra Kotini
Attorney Docket Number	2234-002-03

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		International Search Report for PCT/US04/33905 dated February 23, 2007, and mailed March 23, 2007	

Examiner Signature		Date Considered	
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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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